

05/14/01

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Form for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	8594-003-64 DIV
First Inventor or Application Identifier	Anthony BEVERINA
Title	METHOD AND APPARATUS FOR RISK MANAGEMENT

**APPLICATION ELEMENTS**  
See MPEP chapter 600 concerning utility patent application contents**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)  
☒ Applicant claims small entity status.
2. ☒ Specification Total Pages **76**
3. ☒ Drawing(s) (35 U.S.C. 113) Total Sheets **53**
4. ☒ Oath or Declaration Total Pages **3**
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 C.F.R. §1.63(d))  
(for continuation/divisional with box 16 completed)
5. ☒ Incorporation By Reference (usable if box 4B is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4B, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

**ACCOMPANYING DOCUMENTS**

6. ☐ Assignment Papers (cover sheet & document(s))
7. ☐ 37 C.F.R. §3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
8. ☐ English Translation Document (if applicable)
9. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
10. ☒ Preliminary Amendment
11. ☒ White Advance Serial No. Postcard
12. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
13. ☐ Request for Priority
14. ☐ List of Inventors' Names and Addresses
15. ☒ Other: Letter to Official Draftsman  
Formal Drawings (53 Sheets)

jc997 U.S. PTO  
09/853691

05/14/01

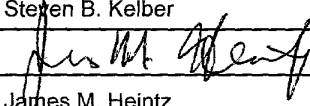
16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:
- ☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application no.: 09/453,509
- Prior application information: Examiner: S. BRODA Group Art Unit: 2123

17. Amend the specification by inserting before the first line the sentence:
- ☒ This application is a ☐ Continuation ☒ Division ☐ Continuation-in-part (CIP)  
of application Serial No. 09/453,509 Filed on December 3, 1999

☐ This application claims priority of provisional application Serial No. Filed

**18. CORRESPONDENCE ADDRESS**

Supervisor, Patent Prosecution Services  
PIPER MARBURY RUDNICK & WOLFE LLP  
1200 Nineteenth Street, N.W.  
Washington, D.C. 20036-2412  
Telephone No. (202) 861-3900  
Facsimile No. (202) 223-2085

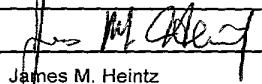
Name	Steven B. Kelber	Registration No.	30,073
Signature		Date	5/14/01
Name	James M. Heintz	Registration No.	41,828

# FEE TRANSMITTAL

Docket No.	8594-003-64 DIV
Serial No.	New Application
Filing Date	Herewith
Inventor(s)	Anthony BEVERINA, et al.
Group Art Unit	
Examiner	

TOTAL AMOUNT OF PAYMENT \$355.00

1. <input checked="" type="checkbox"/> Applicant claims small entity status.										FEE CALCULATION (continued)					
<input type="checkbox"/> Charge any <b>UNDERPAYMENT</b> or credit any <b>OVERPAYMENT</b> in the indicated fees to Deposit Account No. 50-1442. <input type="checkbox"/> Charge the indicated fees to Deposit Account No. 50-1442.										3. ADDITIONAL FEES					
2. <input checked="" type="checkbox"/> Check enclosed.					Large Entity		Small Entity		Fee Description						
					Fee Code	Fee (\$)	Fee Code	Fee (\$)			Fee Paid				
FEE CALCULATION					105	130	205	65	Surcharge-late filing fee or oath						
1. BASIC FILING FEE					127	50	227	25	Surcharge-late provisional filing fee or cover sheet						
Large Entity		Small Entity		Fee Description		139	130	139	130	Non-English specification					
Fee Code	Fee (\$)	Fee Code	Fee (\$)			147	2520	147	2520	Ex parte reexam. fee					
101	710	201	355	Utility filing fee		115	110	215	55	1-mo. ext. of time					
106	320	206	160	Design filing fee		116	390	216	195	2-mo. ext. of time					
107	490	207	245	Plant filing fee		117	890	217	445	3-mo. ext. of time					
108	710	208	355	Reissue filing fee		118	1390	218	695	4-mo. ext. of time					
114	150	214	75	Provisional filing fee		128	1890	228	945	5-mo. ext. of time					
SUBTOTAL (1)					\$355.00		119	310	219	155	Notice of Appeal				
2. EXTRA CLAIM FEES					120	310	220	155	Appeal Brief						
tot. claims	9	-	20*	=	0	x	\$9	=	0	121	270	221	135	Request for Oral Hearing	
ind. claims	1	-	3*	=	0	x	\$40	=	0	142	1240	242	620	Utility/Reissue Issue Fee	
<input type="checkbox"/> Multiple Dependent Claims					\$135		=		143	440	243	220	Design Issue Fee		
Large Entity		Small Entity		Fee Description		144	600	244	300	Plant Issue Fee					
Fee Code	Fee (\$)	Fee Code	Fee (\$)			122	130	122	130	Petitions to the Commissioner					
103	180	203	9	Claims in excess of 20		126	180	126	180	IDS Submission					
102	80	202	40	Independent claims in excess of 3		581	40	581	40	Assignment					
104	270	204	135	Multiple dependent claim, if not paid		179	710	279	355	For Filing RCE					
109	80	209	40	*Reissue independent claims over original patent		169	900	169	900	Expedited Design					
110	18	210	9	*Reissue claims in excess of 20 and over original patent		OTHER (indicate below)									
SUBTOTAL (2)					\$0.00										
* or number previously paid, if greater; For Reissues, see above										SUBTOTAL (3)		\$0.00			

Name	Steven B. Kelber	Registration No.	30,073
Signature		Date	5/14/01
Name	James M. Heintz	Registration No.	41,828
		Telephone	202-861-3900

DOCKET NO. 8594-003-64 DIV

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Anthony BEVERINA, et al.      ART UNIT:  
SERIAL NO.: New Application      EXAMINER:  
FILING DATE: Herewith  
FOR: METHOD AND APPARATUS FOR RISK MANAGEMENT

**LETTER TO OFFICIAL DRAFTSMAN**

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

It is requested that the enclosed **53** sheets of Formal Drawings comprising Figures **1-53** be entered to replace the Informal Drawings filed with the application.

Respectfully submitted,

PIPER MARBURY RUDNICK & WOLFE LLP

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Steven B. Kelber  
Registration No. 30,073  
Attorney of Record

1200 Nineteenth Street, N.W.  
Washington, D.C. 20036-2412  
Telephone No. (202) 861-3900  
Facsimile No. (202) 223-2085

James M. Heintz  
Registration No. 41,828